

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
**(Under 37 CFR 1.97(b) or 1.97(c))**

Docket No.  
RD28056-5

In Re Application Of: **Brown et al.**

| Serial No.<br>to be assigned  | Filing Date<br>herewith | Examiner<br>to be assigned | Group Art Unit<br>to be assigned |
|---|-------------------------|----------------------------|----------------------------------|
| <b>Title: TRIAZINE COMPOUNDS, POLYMERS COMPRISING TRIAZINE STRUCTURAL UNITS, AND METHOD</b> |                         |                            |                                  |

Address to:

**Assistant Commissioner for Patents**  
Washington, D.C. 20231

**37 CFR 1.97(b)**

1.  The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

**37 CFR 1.97(c)**

2.  The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:
  - the statement specified in 37 CFR 1.97(e);

**OR**

- the fee set forth in 37 CFR 1.17(p).

3. [ X ] A list of documents on form PTO-1449 previously submitted. Each of the identified documents was cited by or submitted to the USPTO in the pending prior application Serial No. 09/941,050 filed on 08/28/2001 entitled **TRIAZINE COMPOUNDS, POLYMERS COMPRISING TRIAZINE STRUCTURAL UNITS, AND METHOD** by the following inventor(s): Sterling Bruce Brown, Hans Peter Brack, James Anthony Cella and Dennis Karlik, which is relied upon for in a earlier filing date under 35 U.S.C. 120. Please consider these documents in the prosecution of this case.

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RD28056-5

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Serial No.  
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Examiner  
to be assigned

Group Art Unit  
to be assigned

**TRIAZINE COMPOUNDS, POLYMERS COMPRISING TRIAZINE STRUCTURAL UNITS, AND**

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

A check in the amount of \_\_\_\_\_ is attached.

The Assistant Commissioner is hereby authorized to charge and credit Deposit Account No. 07-0862 as described below. A duplicate copy of this sheet is enclosed.

Charge the amount of \_\_\_\_\_

Credit any overpayment.

Charge any additional fee required.

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I certify that this document and authorization to charge deposit account is being facsimile transmitted to the United States Patent and Trademark Office (Fax. No. \_\_\_\_\_)

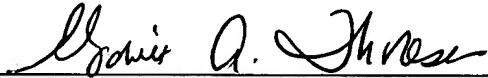
(Date) \_\_\_\_\_

Signature

Typed or Printed Name of Person Signing Certificate

**Certificate of Mailing by First Class Mail**

I certify that this document and fee is being deposited September 26, 2003 with the U.S. Postal Service as first class mail under 37 C.F.R. 1.8 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.



Signature of Person Mailing Correspondence

Elizabeth A. Thoresen

Typed or Printed Name of Person Mailing Certificate

\*This certificate may only be used if paying by deposit account.

  
Signature

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phone: (413) 448-7604

Customer No. 25743

CC:

Dated: September 26, 2003

PTO-1449

Attorney's Docket Number  
RD28056-5Serial Number  
To be assignedINFORMATION DISCLOSURE STATEMENT BY APPLICANT  
LIST OF ITEMS

(Use several sheets if necessary)

Name of Applicant  
Brown et al.Filing Date  
herewithGroup  
To be assigned

## U.S. PATENT DOCUMENTS

| * Examiner Initials | Document Number |   |   |   |   |   |   |   |  | Date     | Name              | Class | Subclass | Filing Date if Appropriate |
|---------------------|-----------------|---|---|---|---|---|---|---|--|----------|-------------------|-------|----------|----------------------------|
|                     | AA              | 4 | 9 | 2 | 7 | 8 | 9 | 4 |  | 05/22/90 | Brown             |       |          |                            |
|                     | AB              | 5 | 0 | 3 | 4 | 5 | 2 | 7 |  | 07/23/91 | Brown et al.      |       |          |                            |
|                     | AC              | 5 | 1 | 1 | 5 | 0 | 4 | 3 |  | 05/19/92 | Yates, III et al. |       |          |                            |
|                     | AD              | 5 | 1 | 3 | 2 | 3 | 7 | 3 |  | 07/21/92 | Khouri et al.     |       |          |                            |
|                     | AE              | 5 | 2 | 1 | 0 | 1 | 9 | 1 |  | 05/11/93 | Phanstiel et al.  |       |          |                            |
|                     | AF              | 5 | 2 | 6 | 4 | 4 | 9 | 6 |  | 11/23/93 | Brown et al.      |       |          |                            |
|                     | AG              | 5 | 3 | 2 | 4 | 7 | 9 | 6 |  | 06/28/94 | Han               |       |          |                            |
|                     | AH              | 3 | 9 | 5 | 7 | 7 | 2 | 8 |  | 05/18/76 | Neuray et al.     |       |          |                            |
|                     | AI              | 3 | 9 | 7 | 8 | 1 | 5 | 9 |  | 08/31/76 | Neuray et al.     |       |          |                            |
|                     | AJ              | 4 | 0 | 9 | 2 | 2 | 4 | 3 |  | 05/30/78 | Neuray et al.     |       |          |                            |

## FOREIGN PATENT DOCUMENTS

|    | Document Number        |  |  | Date     | COUNTRY  | Class | Subclass | TRANSLATION<br>YES      NO |
|----|------------------------|--|--|----------|----------|-------|----------|----------------------------|
| AK | EP0703261B1 (abstract) |  |  | 03/27/96 | European |       |          |                            |
| AL | EP0794209A2            |  |  | 09/10/97 | European |       |          |                            |
| AM | EP0980861A1            |  |  | 02/23/00 | European |       |          |                            |
| AN |                        |  |  |          |          |       |          |                            |
| AO |                        |  |  |          |          |       |          |                            |
| AP |                        |  |  |          |          |       |          |                            |

## OTHER INFORMATION (Including Author, Title, Date, Pertinent)

|    |  |
|----|--|
| AQ | White and Loucks in ACS Symposium Series, volume 282 (Reactive Oligomers), pp. 187-197 (1985)  |
| AR | Kirk-Othmer Encyclopedia of Chemical Technology, Fourth Edition, Volume 19, pp. 584-600  |
| AS | Relationship between the end-cap structure of polycarbonates and their impact resistance, Mayasa Okamoto, Polymer Research Laboratory, Idemitsu Petrochemical Co., Ltd., Received 9 January 2001; accepted 18 April 2001 |

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\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not conformance and not considered. Include copy of this form with next communication to applicant.

PTO-1449

Attorney's Docket Number  
RD28056-5Serial Number  
To be assignedINFORMATION DISCLOSURE STATEMENT BY APPLICANT  
LIST OF ITEMS

(Use several sheets if necessary)

Name of Applicant  
Brown et al.Filing Date  
herewithGroup  
To be assigned

## U.S. PATENT DOCUMENTS

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|---------------------|-----------------|---|---|---|---|---|---|---|--|----------|--------------------|-------|----------|----------------------------|
|                     | AA              | 5 | 6 | 9 | 6 | 2 | 2 | 2 |  | 12/09/97 | Kaneko et al.      |       |          |                            |
|                     | AB              | 5 | 3 | 5 | 2 | 7 | 4 | 5 |  | 10/04/94 | Katayose et al.    |       |          |                            |
|                     | AC              | 3 | 3 | 0 | 6 | 8 | 7 | 4 |  | 02/28/67 | Hay                |       |          |                            |
|                     | AD              | 3 | 3 | 0 | 6 | 8 | 7 | 5 |  | 02/28/67 | Hay                |       |          |                            |
|                     | AE              | 3 | 9 | 1 | 4 | 2 | 6 | 6 |  | 10/21/75 | Hay                |       |          |                            |
|                     | AF              | 4 | 0 | 2 | 8 | 3 | 4 | 1 |  | 06/07/77 | Hay                |       |          |                            |
|                     | AG              | 4 | 0 | 5 | 4 | 5 | 5 | 3 |  | 10/18/77 | Olander            |       |          |                            |
|                     | AH              | 4 | 0 | 9 | 2 | 2 | 9 | 4 |  | 05/30/78 | Bennett, J. et al. |       |          |                            |
|                     | AI              | 4 | 4 | 7 | 7 | 6 | 5 | 1 |  | 10/16/84 | White et al.       |       |          |                            |

## FOREIGN PATENT DOCUMENTS

|  | Document Number |  |  |  |  |  |  |  |  | Date | COUNTRY | Class | Subclass | TRANSLATION<br>YES      NO |
|--|-----------------|--|--|--|--|--|--|--|--|------|---------|-------|----------|----------------------------|
|  | AK              |  |  |  |  |  |  |  |  |      |         |       |          |                            |
|  | AL              |  |  |  |  |  |  |  |  |      |         |       |          |                            |
|  | AM              |  |  |  |  |  |  |  |  |      |         |       |          |                            |
|  | AN              |  |  |  |  |  |  |  |  |      |         |       |          |                            |
|  | AO              |  |  |  |  |  |  |  |  |      |         |       |          |                            |
|  | AP              |  |  |  |  |  |  |  |  |      |         |       |          |                            |

## OTHER INFORMATION (Including Author, Title, Date, Pertinent)

AQ

AR

AS

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|---------------------|-----------------|---|---|---|---|---|---|---|----------|------------------|------|-------|----------|----------------------------|
|                     | AA              | 4 | 5 | 1 | 7 | 3 | 4 | 1 | 05/14/85 | White            |      |       |          |                            |
|                     | AB              | 4 | 2 | 1 | 7 | 4 | 3 | 8 | 08/12/80 | Brunelle et al.  |      |       |          |                            |
|                     | AC              | 5 | 8 | 8 | 0 | 2 | 4 | 8 | 03/09/99 | Sakashita et al. |      |       |          |                            |
|                     | AD              | 5 | 2 | 2 | 9 | 5 | 1 | 3 | 07/20/93 | Brown et al.     |      |       |          |                            |
|                     | AE              | 4 | 8 | 9 | 5 | 9 | 4 | 5 | 01/23/90 | Brown et al.     |      |       |          |                            |
|                     | AF              | 5 | 0 | 0 | 1 | 2 | 0 | 1 | 03/19/91 | Brown            |      |       |          |                            |
|                     | AG              | 5 | 3 | 5 | 7 | 0 | 2 | 7 | 10/18/94 | Komatsu          |      |       |          |                            |
|                     | AH              | 6 | 1 | 4 | 0 | 4 | 5 | 7 | 10/31/00 | LeGrand et al.   |      |       |          |                            |
|                     | AI              | 6 | 1 | 4 | 0 | 4 | 5 | 7 | 10/31/00 | LeGrand et al.   |      |       |          |                            |
|                     | AJ              | 5 | 2 | 4 | 2 | 9 | 7 | 3 | 09/07/93 | Komatsu          |      |       |          |                            |

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|--|-----------------|--|--|--|--|--|--|--|--|------|---------|-------|----------|----------------------------|
|  | AK              |  |  |  |  |  |  |  |  |      |         |       |          |                            |
|  | AL              |  |  |  |  |  |  |  |  |      |         |       |          |                            |
|  | AM              |  |  |  |  |  |  |  |  |      |         |       |          |                            |
|  | AN              |  |  |  |  |  |  |  |  |      |         |       |          |                            |
|  | AO              |  |  |  |  |  |  |  |  |      |         |       |          |                            |
|  | AP              |  |  |  |  |  |  |  |  |      |         |       |          |                            |

**OTHER INFORMATION (Including Author, Title, Date, Pertinent)**

|    |  |
|----|--|
| AQ |  |
| AR |  |
| AS |  |

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| PTO-1449  |                 |   |   |   |   |      |         |   |          | Attorney's Docket Number<br>RD28056-5 |          | Serial Number<br>To be assigned |          |                            |
|---|-----------------|---|---|---|---|------|---------|---|----------|---------------------------------------|----------|---------------------------------|----------|----------------------------|
| <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b><br><b>LIST OF ITEMS</b><br><br>(Use several sheets if necessary)   |                 |   |   |   |   |      |         |   |          | Name of Applicant<br>Brown et al.     |          |                                 |          |                            |
|   |                 |   |   |   |   |      |         |   |          | Filing Date<br>herewith               |          | Group<br>To be assigned         |          |                            |
| U.S. PATENT DOCUMENTS   |                 |   |   |   |   |      |         |   |          |                                       |          |                                 |          |                            |
| * Examiner Initials   | Document Number |   |   |   |   |      |         |   | Date     | Name                                  |          | Class                           | Subclass | Filing Date if Appropriate |
|   | AA              | 5 | 2 | 7 | 1 | 9    | 6       | 8 | 12/21/93 | Coyle et al.                          |          |                                 |          |                            |
|   | AB              | 4 | 9 | 9 | 7 | 8    | 8       | 5 | 03/05/91 | Brown                                 |          |                                 |          |                            |
|   | AC              | 5 | 0 | 9 | 6 | 9    | 7       | 9 | 03/17/92 | Brown et al.                          |          |                                 |          |                            |
|   | AD              | 5 | 1 | 9 | 4 | 5    | 1       | 7 | 03/16/93 | Blubaugh et al.                       |          |                                 |          |                            |
|   | AE              | 5 | 0 | 4 | 1 | 5    | 0       | 4 | 08/20/91 | Brown et al.                          |          |                                 |          |                            |
|   | AF              | 5 | 1 | 0 | 0 | 9    | 6       | 1 | 03/31/92 | Brown et al.                          |          |                                 |          |                            |
|   | AG              | 5 | 0 | 6 | 8 | 2    | 8       | 6 | 11/26/91 | Campbell et al.                       |          |                                 |          |                            |
|   | AH              | 5 | 0 | 8 | 9 | 5    | 6       | 6 | 02/18/92 | Brown et al.                          |          |                                 |          |                            |
|   | AI              | 5 | 1 | 5 | 3 | 2    | 6       | 7 | 10/06/92 | Brown et al.                          |          |                                 |          |                            |
|   | AJ              | 5 | 5 | 3 | 9 | 0    | 6       | 2 | 07/23/96 | Brown et al.                          |          |                                 |          |                            |
| FOREIGN PATENT DOCUMENTS  |                 |   |   |   |   |      |         |   |          |                                       |          |                                 |          |                            |
|   | Document Number |   |   |   |   | Date | COUNTRY |   |          | Class                                 | Subclass | TRANSLATION<br>YES      NO      |          |                            |
| AK  |                 |   |   |   |   |      |         |   |          |                                       |          |                                 |          |                            |
| AL  |                 |   |   |   |   |      |         |   |          |                                       |          |                                 |          |                            |
| AM  |                 |   |   |   |   |      |         |   |          |                                       |          |                                 |          |                            |
| AN  |                 |   |   |   |   |      |         |   |          |                                       |          |                                 |          |                            |
| AO  |                 |   |   |   |   |      |         |   |          |                                       |          |                                 |          |                            |
| AP  |                 |   |   |   |   |      |         |   |          |                                       |          |                                 |          |                            |
| OTHER INFORMATION (Including Author, Title, Date, Pertinent)  |                 |   |   |   |   |      |         |   |          |                                       |          |                                 |          |                            |
| AQ  |                 |   |   |   |   |      |         |   |          |                                       |          |                                 |          |                            |
| AR  |                 |   |   |   |   |      |         |   |          |                                       |          |                                 |          |                            |
| AS  |                 |   |   |   |   |      |         |   |          |                                       |          |                                 |          |                            |
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|---------------------|-----------------|---|---|---|---|---|---|---|----------|--------------|-------|----------|----------------------------|
|                     | AA              | 5 | 1 | 2 | 2 | 5 | 7 | 8 | 06/16/92 | Han et al.   |       |          |                            |
|                     | AB              | 5 | 3 | 8 | 5 | 9 | 8 | 4 | 01/31/95 | Blohm et al. |       |          |                            |
|                     | AC              | 5 | 0 | 3 | 0 | 6 | 9 | 3 | 07/09/91 | Brown et al. |       |          |                            |
|                     | AD              | 5 | 0 | 6 | 2 | 8 | 8 | 2 | 11/05/91 | Newton       |       |          |                            |
|                     | AE              |   |   |   |   |   |   |   |          |              |       |          |                            |
|                     | AF              |   |   |   |   |   |   |   |          |              |       |          |                            |
|                     | AG              |   |   |   |   |   |   |   |          |              |       |          |                            |
|                     | AH              |   |   |   |   |   |   |   |          |              |       |          |                            |
|                     | AI              |   |   |   |   |   |   |   |          |              |       |          |                            |
|                     | AJ              |   |   |   |   |   |   |   |          |              |       |          |                            |

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|  | AK              |  |  |      |         |       |          |                            |
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|  | AN              |  |  |      |         |       |          |                            |
|  | AO              |  |  |      |         |       |          |                            |
|  | AP              |  |  |      |         |       |          |                            |

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